

# **STATE OF ARIZONA**

**COMMUNITY SERVICES BLOCK GRANT PROGRAM  
Amended - DRAFT**

**Federal Fiscal Years (FFYs) 2015-2016**

**Douglas A. Ducey, Governor**

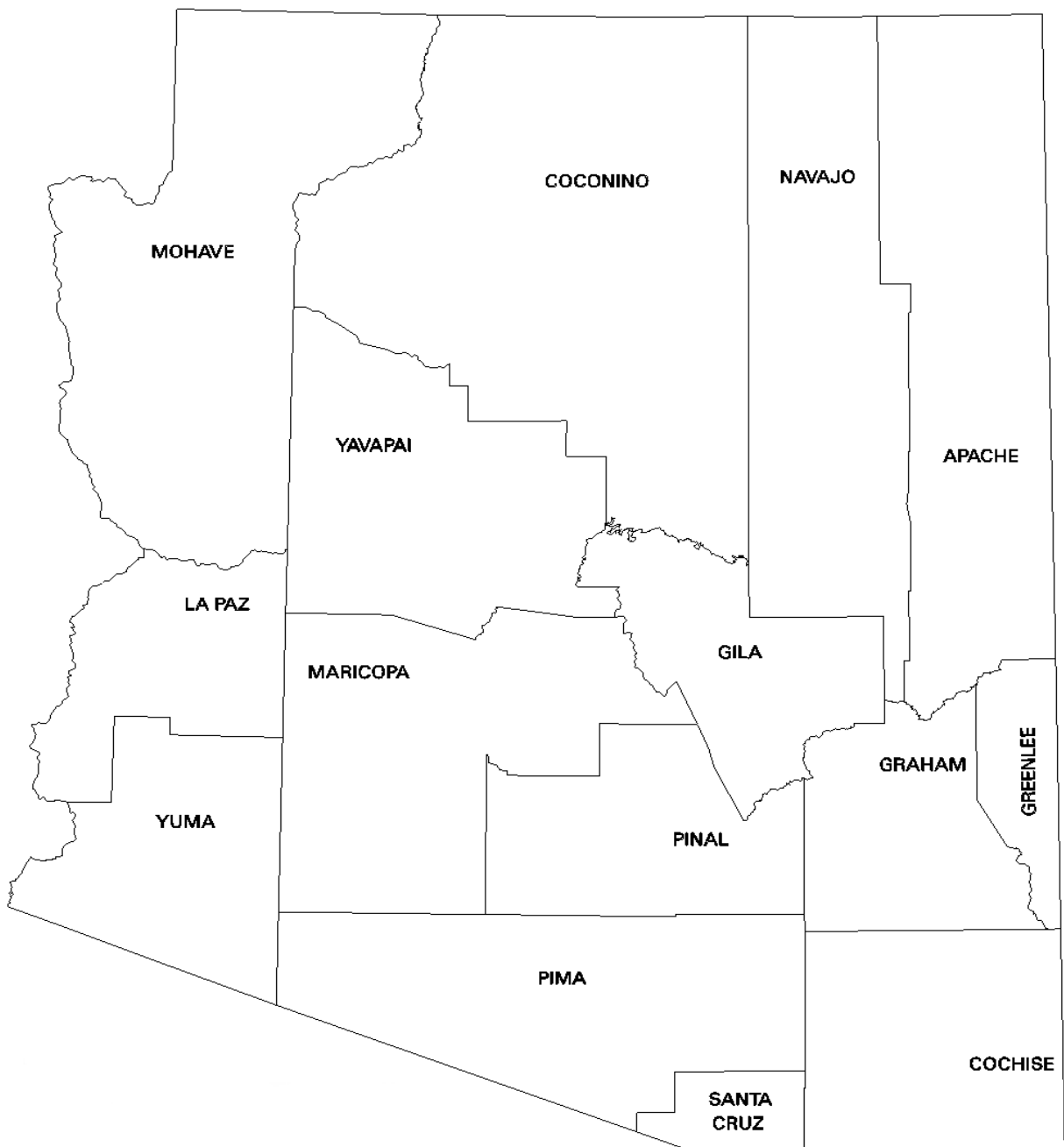
**Timothy Jeffries**  
Director

**Department of Economic Security  
Division of Aging and Adult Services**

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## Arizona Counties



## **I. Federal Fiscal Year Or Years Covered By This State Plan**

☒ Federal Fiscal Years (FFYs) 2015-2016 – **Mid-Plan Amendment**

## **II. Letter of Transmittal**

Transmittal letter is included with this Community Services Block Grant (CSBG) application and plan. The State CSBG contact persons are listed below:

Lynn Larson, Acting Assistant Director and  
Donna Bleyle, Interim Community Services Program Administrator  
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## **III. Executive Summary**

### **A. CSBG State Legislation**

The Community Services Block Grant Program in Arizona is governed via federal legislation. While State legislation does not regulate specific activities, the legislative hearing process allows for legislative review and comment regarding ongoing activities and accomplishments of the program.

### **B. Governor's Delegation**

Section 676(a) of the Act requires the Chief Executive Officer of each state to designate an appropriate state agency to act as lead agency for the administration of the Community Services Block Grant (Letter of Delegation in Appendix A).

The Chief Executive Officer of the State has designated the following State entity to act as the lead agency of the Community Services Block Grant Program.

Lead Agency: Arizona Department of Economic Security  
Director: Timothy Jeffries

### **C. State Application and Plan**

#### **(1) Public Hearings:**

Beginning with the State Plan for FFYs 2015-2016, Arizona Department of Economic Security (ADES) will conduct multiple public hearings throughout the State, in conjunction with the development of the biennial State Plan. ADES will conduct a single public hearing in Phoenix in the intervening years to solicit public comment regarding amendments to the current Plan.

The Department conducted several public hearings in 2014 to ensure public inspection, facilitate review and solicit comments regarding the FFYs 2015-2016 CSBG State Plan, and to provide opportunities for the public in various parts of the State to offer comments without the necessity of traveling to Phoenix. The first public hearing was held in Phoenix on May 22, 2014; the second in Flagstaff (northern Arizona) on June 4, 2014; and the third, in Tucson (southern Arizona) on June 10, 2014. DES conducted one public hearing in Phoenix on May 28, 2015 to ensure public inspection and review of updates to the FFYs 2015-2016 CSBG State Plan.

In 2013, Maricopa County Human Services Department, an eligible entity, notified the State of a request to relinquish the portion of its service area within the Tempe city limits. The State issued a Request for Proposal and held a public hearing on March 31, 2014 in Tempe, Arizona to elicit comments on the establishment of a new eligible entity and the resulting change in the proportional share of funding to agencies. Concerns were expressed regarding the economic and administrative feasibility of creating a new CSBG eligible entity. After considering input and evaluating the financial impact to the program, the Request for Proposal was cancelled. Maricopa County Human Services Department will continue to serve the city of Tempe.

(2) Legislative Hearing:

Legislative hearings are held once every three years in accordance with Section 676(a)(3) of the Act. The last legislative hearing was held on August 6, 2014.

(3) Public Inspection:

The 2015-2016 CSBG State Plan was made available for public inspection and comment via the public hearing process in 2014. Paper copies of the State Plan are available upon request. In addition, the State Plan was posted on the ADES website. Oral and written testimony were solicited and accepted at the public hearings and via the ADES website from May 12, 2014 through June 20, 2014. Oral and written testimony were solicited and accepted at the public hearing and via the ADES website from April 1, 2015 through May 28, 2015 for the FFY 2015-2016 CSBG State Plan Mid-Plan Amendment.

#### **IV. Statement of Federal and CSBG Assurances**

As part of the biennial application and Plan required by Section 676 of the Community Services Block Grant Act, as amended, (42 U.S. C. 9901 et seq.) (The Act), the designee of the Chief Executive Officer of the State hereby agrees to the Assurances in Section 676 of the Act as indicated below.

A. Programmatic Assurances

(1) Funds made available through this grant or allotment will be used:

- (a) To support activities that are designated to assist low-income families and individuals, including families and individuals receiving assistance under part A of Title IV of the Social Security Act (42 U.S.C. 601 et seq.), homeless families and individuals, migrant or seasonal farmworkers, low-income seniors and families to enable families and individuals to:

- (i) remove obstacles and solve problems that block the achievement of self-sufficiency (including self-sufficiency for families and individuals who are attempting to transition off a state program carried out under part A of the Title IV of the Social Security Act);
  - (ii) secure and retain meaningful employment;
  - (iii) attain an adequate education, with particular attention toward improving literacy skills of low-income families in the communities involved, which may include carrying out family literacy initiatives;
  - (iv) make better use of available income;
  - (v) obtain and maintain adequate housing and a suitable living environment;
  - (vi) obtain emergency assistance through loans, grants, or other means to meet immediate and urgent family and individual needs; and
  - (vii) achieve greater participation in the affairs of the communities involved including the development of public and private grassroots partnerships with local law enforcement agencies, housing authorities, private foundations, and other public and private partners; to document best practices based on successful grassroots intervention in urban areas; to develop methodologies for widespread replication; and strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts.
- (b) To address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and after-school child care programs; and
- (c) To make more effective use of, and to coordinate with, other programs (including State welfare reform efforts). [‘676(b)(1)]
- (2) To describe how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in Section 675(b) of the Act in accordance with the CSBG Program, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of the CSBG Program. [‘676(b)(2)]
- (3) To provide information provided by eligible entities in the State, including:
- (a) A description of the service delivery system, for services provided or coordinated with funds made available through grants made under Section 675(a) of the Act, targeted to low-income individuals and families in communities in the State;

- (b) A description of how linkages will be developed to fill identified gaps in services, through the provision of information, referrals, case management, and follow-up consultations;
  - (c) A description of how funds made available through grants made under Section 675(a) of the Act will be coordinated with other public and private resources; and
  - (d) A description of how eligible entities will use the funds to support innovative community and neighborhood-based initiatives related to the purposes of the CSBG, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging effective parenting. ['676(b)(3)]
- (4) To ensure that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals. ['676(b)(4)]
  - (5) The State and eligible entities within the State will coordinate, and establish linkages between governmental and other social services programs to assure the effective delivery of such services to low-income individuals and to avoid duplication of such services, and State and eligible entities will coordinate the provision of employment and training activities in the State and in communities with eligible entities providing activities through statewide and local workforce investment systems under the Workforce Investment Act of 1998. ['676(b)(5)]
  - (6) To ensure coordination between antipoverty programs in each community in the State, and to ensure, where appropriate, that emergency energy crisis intervention programs under Title XXVI (relating to low-income home energy assistance) are conducted in such communities. ['676(b)(6)]
  - (7) To permit and cooperate with federal investigations undertaken in accordance with section 678D of the Act. ['676(b)(7)]
  - (8) That any eligible entity in the State that received funding in the previous fiscal year through a community services block grant under the CSBG Program, will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the eligible entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b) of the Act. ['676(b)(8)]
  - (9) That the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups and community organizations. ['676(b)(9)]
  - (10) To require each eligible entity in the State to establish procedures under which a low-income individual, community organization, religious organization, or representative of low-income individuals that considers its organization or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation. ['676(b)(10)]

- (11) To secure from each eligible entity in the State, as a condition to receipt of funding, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State Plan) that includes a community needs assessment for the community served, which may be coordinated with community needs assessments conducted for other programs. ['676(b)(11)]
- (12) That the State and all eligible entities in the State will continue to participate in the Results Oriented Management and Accountability (ROMA) System, or another performance measure system for which the Secretary facilitated development pursuant to Section 678E(b) of the Act. ['676(b)(12)]
- (13) To provide information describing how the State will carry out these assurances. ['676(b)(13)]

#### B. Administrative and Financial Assurances

The State further agrees to the following, as required under the Act:

- (1) To submit an application to the Secretary containing information and provisions that describe the programs for which assistance is sought under the CSBG Program prepared in accordance with and containing the information described in Section 676 of the Act. ['675A(b)]
- (2) To use not less than 90 percent of the funds made available to the State by the Secretary under Section 675A or 675B of the Act to make grants to eligible entities for the stated purposes of the CSBG Program and to make such funds available to eligible entities for obligation during the fiscal year and the succeeding fiscal year, subject to the provisions regarding recapture and redistribution of unobligated funds outlined below. ['675C(a)(1) and (2)]
- (3) The State assures that unobligated funds from eligible entities will be carried forward into the following State fiscal year (SFY) for expenditures consistent with program purposes. ['675 (C) superseded by Public Law 107-116]
- (4) The State will spend no more than the greater of \$55,000, or five percent, of its grant received under Section 675A of the Act, or the State allotment received under section 675B of the Act, for administrative expenses, including monitoring activities. ['675C(b)(2)]
- (5) The State's charity tax credit rules do not meet all requirements and limitations specified in Section 675(c) of the Act regarding use of CSBG funds for statewide activities to provide charity tax credits to qualified charitable organizations. Therefore, the State does not utilize CSBG to provide charity tax credits.['675(c)]
- (6) The lead agency will hold at least one hearing in the State with sufficient time and statewide distribution of notice of such hearing, to provide to the public an opportunity to comment on the proposed use and distribution of funds to be provided through the grant or allotment under Section 675A or 675B of the Act for the period covered by the State Plan. ['676(a)(2)(B)]
- (7) That the chief executive officer of the State will designate an appropriate State agency for purposes of carrying out State CSBG Program activities. ['676(a)(1)]



- (8) The State will hold at least one legislative hearing every three years in conjunction with the development of the State Plan. [‘676(a)(3)]
- (9) The State will make available for public inspection each plan or revised State Plan in such a manner as will facilitate review and comment on the plan. [‘676(e)(2)]
- (10) The State will conduct the following reviews of eligible entities:
  - (a) Full onsite review of each such entity at least once during each three year period;
  - (b) An onsite review of each newly designated entity immediately after the completion of the first year in which such entity receives funds through the CSBG Program;
  - (c) Follow-up reviews, including prompt return visits to eligible entities and their programs, that fail to meet the goals, standards, and requirements established by the State; and
  - (d) Other reviews as appropriate, including reviews of eligible entities with programs that have had other federal, state or local grants (other than assistance provided under the CSBG Program) terminated for cause. [‘678B(a)]
- (11) In the event that the State determines that an eligible entity fails to comply with the terms of an agreement or the State Plan, to provide services under the CSBG Program or to meet appropriate standards, goals, and other requirements established by the State (including performance objectives), the State will comply with the requirements outlined under Section 678C of the Act, to:
  - (a) Inform the eligible entity of the deficiency to be corrected;
  - (b) Require the eligible entity to correct the deficiency;
  - (c) Offer training and technical assistance as appropriate to help correct the deficiency, and submit to the Secretary a report describing the training and technical assistance offered or stating the reasons for determining that training and technical assistance are not appropriate;
  - (d) At the discretion of the State, offer the eligible entity an opportunity to develop and implement, within 60 days after being informed of the deficiency, a quality improvement plan and to either approve the proposed plan or specify reasons why the proposed plan cannot be approved; and
  - (e) After providing adequate notice and an opportunity for a hearing, initiate proceedings to terminate the designation of or reduce the funding to the eligible entity unless the eligible entity corrects the deficiency. [‘678C(a)]
- (12) The State will establish fiscal controls, procedures, audits and inspections, as required under Sections 678D(a)(1) and 678D(a)(2) of the Act.
- (13) The State will repay the United States amounts found not to have been expended in accordance with the Act, or the Secretary may offset such amounts against any other amount to which the State is or may become entitled under the CSBG Program. [‘678D(a)(3)]

- (14) The State assures that it will participate in ROMA Practices for the purpose of measuring performance and results. This includes defining outcomes under the six national goals that promote self-sufficiency, building agency capacity, and community revitalization. ['678E(a)(1)(A) and '678E(a)(1)(B)]
- (15) The State will prepare and submit to the Secretary an annual report on the measured performance of the State and its eligible entities, as described under 678(a)(2) of the Act.
- (16) The State will comply with the prohibition against use of CSBG funds for the purchase or improvement of land, or the purchase, construction, or permanent improvement (other than low-cost residential weatherization or other energy-related home repairs) of any building or other facility, as described in Section 678(a) of the Act.
- (17) The State will ensure that programs assisted by CSBG funds shall not be carried out in a manner involving the use of program funds, the provision of services, or the employment or assignment of personnel in a manner supporting or resulting in the identification of such programs with any partisan or nonpartisan political activity or political activity associated with a candidate, or contending faction or group, in an election for public or party office; any activity to provide voters or prospective voters with transportation to the polls or similar assistance with any such election, or any voter registration activity. ['678F(b)]
- (18) The State will ensure that no person shall, on the basis of race, color, national origin or sex be excluded from participation in, be denied the benefits of, or be subjected to discrimination under, any program or activity funded in whole or in part with CSBG Program funds. Any prohibition against discrimination on the basis of age under the Age Discrimination Act of 1975 (42 U.S.C. 6101 et seq.) or with respect to an otherwise qualified individual with a disability as provided in Section 504 of the Rehabilitation Act of 1974 (29 U.S.C. 12131 et seq.) shall also apply to any such program or activity. ['678F(c)]
- (19) The State will consider religious organizations on the same basis as other non-governmental organizations to provide assistance under the program so long as the program is implemented in a manner consistent with the Establishment Clause of the first amendment to the Constitution; not to discriminate against an organization that provides assistance under, or applies to provide assistance under the CSBG Program on the basis that the organization has a religious character; and not to require a religious organization to alter its form of internal government except as provided under Section 678B of the Act, or to remove religious art, icons, scripture or other symbols in order to provide assistance under the CSBG Program. ['679]

#### C. Other Administrative Certifications

The State also certifies the following:

- (1) To provide assurances that cost and accounting standards of the Office of Management and Budget (OMB Circular A-110 and A-122) shall apply to a recipient of CSBG Program funds.
- (2) To comply with the requirements of Public Law 103-227, Part C Environmental Tobacco Smoke, also known as the Pro-Children Act of 1994, which requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an eligible entity and used routinely or regularly for the provision of health, day care,

education, or library services to children under the age of 18 if the services are funded by a Federal grant, contract, loan or loan guarantee.

The State further agrees that it will require the language of this certification be included in any sub-awards, which contain provisions for children's services and that all eligible entities shall certify accordingly.

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Signature

Date

Timothy Jeffries  
Director, Arizona Department of Economic Security

DRAFT

## V. CSBG State Plan

### A. Administrative Structure

#### 1. State Administrative Agency

##### (a) Mission and Responsibilities of the State Office

The Arizona Department of Economic Security (ADES) is the designated State agency responsible for the administration of the CSBG as identified by the Governor. All activities of ADES are the responsibility of the Director. Primary responsibility for CSBG program planning, development, contracting, reporting and monitoring is delegated to the Division of Aging and Adult Services (DAAS), Community Services Administration.

#### 2. Eligible Entities

- City of Phoenix Human Services Department  
Geographic Area Served: City of Phoenix
- Mesa Community Action Network  
Geographic Area Served: City of Mesa
- City of Glendale Community Action Program  
Geographic Area Served: City of Glendale
- Maricopa County Human Services Department  
Geographic Area Served: Balance of Maricopa County
- Pima County Community Action Agency  
Geographic Area Served: Pima County
- Northern Arizona Council of Governments  
Geographic Area Served: Yavapai, Navajo, and Apache Counties
- Coconino County Community Services Department  
Geographic Area Served: Coconino County
- Western Arizona Council of Governments  
Geographic Area Served: Mohave, Yuma and La Paz Counties
- Community Action Human Resources Agency  
Geographic Area Served: Pinal County
- Gila County Community Action Agency  
Geographic Area Served: Gila County
- Southeastern Arizona Community Action Program  
Geographic Area Served: Greenlee, Graham, Cochise, and Santa Cruz Counties
- Portable, Practical, Education Preparation, Inc.  
Geographic Area Served: Statewide (migrant or seasonal farm workers)

### 3. Distribution and Allocation of Funds for SFY 2015

CSBG funds in SFY 2016 are calculated using a combination of FFYs 2015 and 2016 as follows:

FFY 2015 (remaining balance)	Pending
FFY 2016 (estimated)	Pending

GRAND TOTAL	\$5,171,446
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Allocations to Eligible Entities for SFY 2016:

• City of Glendale Community Action Program	\$187,030
• City of Phoenix Human Services Department	\$1,287,952
• Coconino County Community Services Department	\$150,000
• Community Action Human Resources Agency	\$275,038
• Gila County Community Action Agency	\$150,000
• Maricopa County Human Services Department	\$818,510
• Mesa Community Action Network	\$291,477
• Northern Arizona Council of Governments	\$253,802
• Pima County Community Action Agency	\$726,491
• Southeastern Arizona Community Action Program	\$202,194
• Western Arizona Council of Governments	\$459,565
• Portable, Practical, Education Preparation, Inc.	\$98,001

SUB-TOTAL	\$4,900,060
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Discretionary Allocations	\$271,386
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State Administration Allocation	\$271,386
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GRAND TOTAL	\$5,171,446
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## B. Distribution Formula

The distribution of CSBG funds to eligible entities is based upon the following formula factors:

<b>Poverty Factor</b>	<b>Unemployment Factor</b>	<b>Rural Factor</b>	<b>Tribal Adjustment</b>	<b>Migrant/ Seasonal Farmworker Adjustment</b>	<b>Minimum Funding Variable</b>
85%	10%	5%	Yes	2%	\$150,000

- Poverty

Eighty-five percent of funds are distributed according to the number of persons at or below 125 percent of poverty in a given geographic area. Tribal households residing on reservations receiving direct CSBG funds are not included. Poverty statistics are obtained from the most current U.S. Decennial Census data available for the State of Arizona and updated using the 2010 American Community Survey for a five-year period (2009-2013).

- Unemployment

Ten percent of funds are distributed based upon the unemployment rates in each designated geographic service area. The source for the unemployment factor is the annual Arizona Department of Administration Unemployment Statistics Program Special Unemployment Report. Unemployment statistics are updated on a yearly basis.

- Rural

Five percent of funds are distributed only to rural counties based upon a determination of special needs such as disproportionately high unemployment, logistical challenges such as availability of transportation, distances to and from remote areas and disproportionate cost and availability of energy and other essential services. Rural statistics are obtained from the most current U.S. Decennial Census data available for the State of Arizona and updated using the 2010 American Community Survey for a five-year period (2009-2013).

- Tribal Adjustment

In 1982, American Indian Tribes within the State were given the opportunity to apply for funding directly from the Department of Health and Human Services. The tribes receive approximately 15 to 20 percent of the State's gross allocation. American Indian populations residing on reservations receiving separate CSBG allocations are excluded from the funding formula.

- Migrant and Seasonal Farmworker Adjustment

Two percent of funds allocated to eligible entities is reserved for a designated limited purpose entity serving migrant or seasonal farm workers and their families statewide.

- Minimum Funding Variable - \$150,000

All eligible entities are guaranteed a minimum allocation of \$150,000 depending upon availability of funds.

Agencies will receive a proportional share of any increase or decrease to the State's appropriation.

C. Description of Distribution and Use of Restricted Funds [‘675C(a)(1)]

The State will use no less than 90 percent of the funds allotted to the State under Section 674 of the Act to make grants to eligible entities for the purposes described in Section 675C(a)(1) of the Act including organizations serving migrant or seasonal farm workers. Funds unused by an eligible entity will be carried forward to the subsequent year's contract for CSBG program purposes only as mandated under the Consolidated and Further Continuing Appropriations Act, 2015, 2014, H.R. 83, Public Law 113-59, Division G-Departments of Labor, Health and Human Services, and Education, and Related Agencies Appropriations Act, 2015, Title II, enacted on December 19, 2014, as it applies to section 675C(a)(3) of the Act with respect to carryover. Eligible entities will submit to the State a spend-down plan for the subsequent year's contract in the event unused funds exceed 20 percent of the eligible entity's total allocation.

If less than 100 percent of the State allotment is expended, a reasonable amount shall be used for allowable activities as listed under Section 675C(b)(1)(A-H) of the Act as follows (with the exception of item (g), as the State of Arizona does not use CSBG funds to support charity tax credit programs):

- (a) Providing training and technical assistance to those entities in need of such assistance and such activities will not be considered administrative expenses;
- (b) Coordinating state-operated programs and services targeted to low-income children and families, and at the option of the State, locally operated programs and services, targeted to low-income children and families with services provided by eligible entities and other organizations funded under the CSBG Act, including out-posting appropriate state or local public employees into entities funded to ensure increased access to services provided by such state or local entities;
- (c) Supporting statewide coordination and communication among eligible entities;
- (d) Analyzing the distribution of funds made available under the CSBG Act, to determine if such funds have been targeted to the areas of greatest need;
- (e) Supporting asset-building programs for low-income individuals, such as programs supporting individual development accounts;
- (f) Supporting innovative programs and activities conducted by eligible entities or other neighborhood-based organizations to eliminate poverty, promote self-sufficiency, and promote community revitalization;
- (g) Supporting State Charity Tax Credits as described in subsection (c) of the CSBG Act (does not apply to Arizona); and
- (h) Supporting other activities, consistent with the purposes of the CSBG Act.

D. Description of Distribution and Use of Discretionary Funds [‘675C(b)(1)(A-H)]

The remainder of funds will be made available at the discretion of the State to support new or innovative programs or projects aimed at eliminating one or more causes of poverty and/or promoting self-sufficiency among low-income households or for statewide activities conducted by the State under Section 675C(b)(1)(A-H) of the Act. At least five percent of the State’s CSBG allocation will be available for discretionary activities.

Organizations eligible to receive grants supported through discretionary funds include CSBG eligible entities providing services in Arizona, the statewide association of community action programs and other organizations with the primary purpose of ending poverty in Arizona.

CSBG discretionary funds are used for the following priorities:

**Statewide Coordination and Communication Amongst Eligible Entities:** A portion of CSBG Discretionary funds will be targeted to support statewide coordination and communication among eligible entities on a yearly basis that will be accomplished through support of the Community Action Agencies state association.

**Training and Technical Assistance (T/TA):** A portion of CSBG Discretionary funds will be targeted to provide the training and technical needs of eligible entities. The State will work closely with the statewide association of community action programs, and in consultation with the Community Action Network, will develop a T/TA strategy that will outline the various T/TA activities to be provided including, but not limited to, the following:

- Tripartite boards such as new member orientation and low-income representative recruitment;
- ROMA training for agency staff and board members with respect to goal setting and evaluation of outcomes; and
- Basics of preparing the annual CSBG Information System Survey.

The Draft Organizational Standards, as identified in the Information Draft Memorandum dated March 24, 2014, issued by the Office of Community Services (OCS), were discussed with the Community Action Network on April 23, 2014. The State will voluntarily implement the organizational standards over a three-year period. In SFY 2015, the State will request that eligible entities conduct a self-assessment using a model derived from the State of Ohio pilot assessment. In SFY 2016 and 2017, the State will conduct an informal assessment of each eligible entity using the same model. The informal assessment will be conducted in conjunction with the existing monitoring schedule. The intent of this assessment is to identify training and technical assistance needs. ADES/DAAS will provide appropriate technical assistance to support eligible entities in achieving compliance with the organizational standards. The State will require full compliance with the organizational standards, as may be amended, by SFY 2018, and will monitor each eligible entity in accordance with its regular monitoring schedule.

The eligible entities have also expressed a desire for training in data mining techniques such as information gathering and analysis using tools such as the U.S. Census Bureau data banks to gather up-to-date information for use in the preparation of Community Needs Assessments and program planning.

The State will investigate options in conjunction with the Community Action Network, to develop training and technical assistance priorities for implementation in SFY 2016.



**Emergency Assistance:** A portion of CSBG Discretionary Funds will be set aside and made available to eligible entities serving a local area of the State experiencing an emergency that will cause a significant increase in demand for services, or jeopardize the health and safety of low-income households or communities. The emergency situation must have been precipitated by unusual events that affected a community or neighborhood. Added to the definition is the determination of a Human Service Emergency made by the Department of Economic Security. Upon determination of a Human Service Emergency, households affected may be assisted with costs to temporarily shelter or house individuals in hotels, apartments or other living situations, i.e., placing people in settings to preserve health and safety and to move them away from the crisis situation. Examples include, but are not limited to: a natural or man-made disaster (such as a forest fire or flood) necessitating an immediate response; a mine strike which will impact a community; the closure of a housing complex by the Arizona Department of Public Safety or the Arizona Department of Health Services that renders many low-income households homeless in one community; or any other unusual event which causes a significant increase in service demands or jeopardizes the health and safety of low-income households, a neighborhood, or a community, and which requires immediate response by a local eligible entity.

In SFY 2015, \$10,000 of CSBG Emergency Assistance funds were awarded to Gila County Human Services Division, Community Action Program (CAP) to assist 21 senior and disabled residents of a low-income apartment complex who were displaced by a fire and subsequent severe water damage. Damage to the structure was found to be far more extensive than first estimated. After two weeks in temporary shelter, residents were still unable to return to their homes. Several more weeks of shelter and meals would be needed. Of the \$10,000 awarded, \$8,252 assisted with extended temporary shelter costs, and the balance, \$1,748 to cover some of the costs of food for the residents who were still unable to find suitable shelter with family or friends. The Gila County CAP coordinated the local assistance effort by partnering with the Salvation Army, the Payson Senior Center, an area hotel, the residential management company and several local churches. The local chapter of the Humane Society has offered assistance in providing shelter and veterinary care for the residents' pets.

**Special Projects:** A portion of CSBG Discretionary funds are made available, at the discretion of the State, to support statewide activities, or to support innovative programs or projects aimed at eliminating one or more causes of poverty and/or promoting self-sufficiency among low-income households. Funds made available under Special Projects are intended to provide support for a specified timeframe. For FFYs 2015-2016, requests for funds to support Special Projects will be accepted from eligible entities between March 1 and April 30 of each year and identified as a funding opportunity through a Community Action Network ALERT (notification of funding distributions and/or policy/contract modifications). However, for SFY 2015, an extension was given, and requests were accepted through September 30, 2014 with one of the focus areas being evidence-based programs. Requests must provide an outline of the objectives, employment impacts, and expected outcomes; a listing of the proposed partner organizations and description of the roles those organizations will play; and particular ROMA National Performance Indicators (NPIs) where outcomes were reported.

Maricopa County Human Services Department (MCHSD) was awarded \$55,000 in CSBG Discretionary Special Projects funds in SFY 2015 to develop an anti-poverty case management model, which extends beyond crisis stabilization, to offer a comprehensive approach toward moving households out of poverty. The project will replicate a program model already proven effective through an evidence-based or evidence-informed service methodology. MCHSD has organized a local team consisting of a variety of partners to coordinate benefits and evaluate effectiveness. This new model will include a comprehensive educational Individual Development Account (IDA) program among its services. Other local organizations

collaborating with MCHSD on this project include the City of Phoenix Human Services Department, Mesa Community Action Network, and Valley of the Sun United Way.

City of Phoenix Human Service Department was awarded \$24,440 in CSBG Discretionary Special Projects funds to upgrade its technology at its three Family Service Centers and fifteen Senior Service Centers to facilitate electronic document retention. This project will move the agency toward a paperless service delivery model, increasing the agency's capacity to serve low-income households more efficiently and with greater flexibility. The agency estimates the proposed system will save over \$30,000 per year in administrative costs incurred by copying, printing and maintaining hard files.

The remainder of unspent CSBG Discretionary funds allocated in SFY 2015 will be carried over and distributed to eligible entities using the standard Distribution Formula used to allocate the 90 percent of funds dedicated to eligible entities.

**Discretionary Allocations – SFY 2016:**

Statewide Coordination and Communication	\$ 55,000
Training and Technical Assistance	\$100,000
Emergency Assistance	\$ 30,000
Special Projects	\$ 86,386
TOTAL	\$271,386

E. **Description of Use of Administrative Funds [‘675(b)(2)]**

The State will not expend more than the greater of \$55,000 or five percent of its allotment under Section 674 of the Act for administrative expenses, including monitoring activities. Arizona will not use CSBG funds for Charity Tax Credit Programs. The State maintains accounting procedures established to assure that the administrative cost limitation is not exceeded. Regular meetings will be held to discuss the level of expenditures. The State's Office of Accounting will prepare monthly reports. In the event that the State does not use the entire five percent of the total reserved for ADES/DAAS administrative expenses, the remainder may also be used to fund discretionary activities.

The State's projected administrative budget is as follows:

**Administrative Budget – SFY 2016**

Personnel	\$ 151,557
Employee Related Expenses	\$ 66,989
Professional & Outside	\$ 0
Travel In-State	\$ 3,436
Non-Capital Equipment	\$ 55
Other Operating	\$ 19,992
Indirect	\$ 29,357
TOTAL	\$271,386

## **F. State Community Services Program Implementation**

### **(1) Program Overview [‘676(b)(2)(A)]**

#### **a) State Service Delivery System**

The State’s 12 eligible entities provide services to low-income individuals and families in diverse geographic areas and communities. Agencies provide an array of comprehensive services including case management, client advocacy, household budgeting assistance, telephone discount services for persons with disabilities and seniors, tax preparation and emergency assistance including eviction prevention, transportation assistance, such as gasoline, bus passes and emergency vehicle repair, and utility assistance services.

Eleven eligible entities in Arizona offer services through the Low Income Home Energy Assistance Program (LIHEAP) and seven eligible entities offer the Weatherization Assistance Program (WAP).

All eligible entities coordinate CSBG funding with Temporary Assistance for Needy Families (TANF) funds to provide a State mandated emergency assistance program. Arizona’s eligible entities also provide high impact services such as vocational training and Individual Development Account (IDA) programs with leveraged funding from local private charities.

Additional high impact services include intensive case management, counseling and programs that encourage better use of available income, loan modification programs to prevent foreclosure and sponsoring events and forums to encourage engagement of the low-income community.

In addition to providing direct services, Arizona’s eligible entities work in partnership with both public and private organizations throughout their communities to address the issues of poverty in their local areas.

The Community Action Network in Arizona has been able to maximize CSBG funds to attract additional resources from federal, state, local, and private organizations. During the last State fiscal year, eligible entities leveraged CSBG funds to attract outside resources at a ratio of approximately **32 to 1**. This return on investment illustrates the efficient manner in which the Community Action Network in Arizona uses CSBG to form partnerships with other organizations in assisting low-income households’ levels of self-sufficiency and addressing the causes of poverty.

The State established this ratio by taking the 2014 CSBG IS Report Section F. 15: "Other Resources Administered and Generated by the CSBG Network" total of **\$184,897,993**, and dividing by the SFY **2014** CSBG Network Distribution and Allocation of Funds Total of **\$5,792,025** for the 12 eligible entities.

#### **b) Linkages [‘676(b)(2)(B)]**

Eligible entities develop linkages to fill identified gaps in services, through the provision of information, referrals, case management, and follow-up consultations. Some eligible entities develop linkages with local private organizations such as financial institutions to develop IDA programs. Others contract with local non-profit agencies to provide specific services in their communities not offered by the eligible

entity such as food banks and job training programs. Some of these relationships are informal, others are subcontracted and still others operate under memos of understanding.

Linkages programs may include family/individual counseling; transportation; programs for persons with disabilities and seniors; neighborhood activities; information and referral; local needs assessments; community outreach; summer recreation; and other miscellaneous projects involving formal and informal partnerships and organizational relationships in the community.

**c) Coordination with Other Public and Private Resources [‘676B(2)(C)]**

The State coordinates a variety of programs using State and federal resources such as Supplemental Nutrition Assistance Program (SNAP), Temporary Assistance for Needy Families (TANF), Medicaid, Department of Housing and Urban Development (HUD), Department of Labor (DOL), Neighbors Helping Neighbors (State) and other federal, state and county programs.

The following are examples of coordination efforts by eligible entities:

**Pima County Community Services Partner: CSBG Interfaith Community Services (ICS)**

Pima County Community Action Agency offers competitive bids to qualified non-profit organizations to carry out Community Action programs supported by CSBG funds. Generally, 10 to 13 Community Action contracts are awarded throughout the agency service area each year. These organizations leverage community resources with local partnerships to make the most of their CSBG funding. The following narrative describes one of those programs carried out by a faith-based community partner.

**Interfaith Community Services (ICS)** - Even in this time of economic downturn, the agency is financially stable. ICS has made a number of reductions in the budget without affecting services to date. The Board of Directors and volunteer Finance Committee of experienced financial professionals carefully watch cash flow and funding. ICS has had the ability to raise and leverage private dollars effectively. The umbrella of services allows the case managers to refer a client for other services at the time of their initial interview, increasing the chance of success for the client’s goal of self-sufficiency. More than 600 dedicated volunteers represent a major resource to all the ICS programs and keep operating costs low.

The majority of ICS clients need financial assistance largely due to unemployment/underemployment or health issues. ICS works to help eliminate barriers to sustainable employment. ICS also assist clients with applying for medical coverage and find solutions to obtain medication assistance with our health advocacy program. To respond to the increased numbers of unemployed individuals and families facing financial challenges, ICS launched partnerships with Pima County One Stop, Wells Fargo Foundation, United Way, and Arizona Youth Partnership (AZYPP) to provide ONESTOP employment assistance. The agency helps participants complete public assistance applications, prepare free federal and state tax returns, and helps clients learn how to create savings and better manage their finances. In addition, AZYPP provided family relationship workshops which helped with family communication and parenting skills.

The CSBG funds are used to provide assistance to eliminate barriers to employment, assisting with emergency needs while seeking employment, and providing medication coverage until a long-term solution could be found.

The outcome indicator used during the case management of the client was the Self-Sufficiency Matrix developed by the Arizona Community Action Network. During the follow-up interview and after one month from the initial case management interview, another assessment was made using the matrix. In FFY 2013, 118 clients were assisted with CSBG funding and, while many were still seeking employment, approximately 60 percent showed forward movement on the matrix.

In SFY 2014, Interfaith Community Services partnered with Arizona Youth Partnership to assist clients with tools for sustainability. ICS' financial assistance program provided funding for emergency needs and barriers to obtaining employment. A portion of these funds came from the CSBG grant. ICS' Job Resource Center provided services in the areas of resume writing, job search, career planning and financial literacy.

CSBG provided funding for job related barriers (gas vouchers, monthly bus passes, State of Arizona identification cards, car repairs, clothing requirements, tools, required classes, etc.). Forty clients received CSBG emergency rental assistance. Meanwhile, Arizona Youth Partnership's Strengthening Families Programs concentrated on family relationships, parenting skills, improving youth social and life skills, and couple communication skills. Twelve families completed the Strengthening Families Program. This collaboration considered all aspects of each families' needs to reach stability and sustain them beyond basic assistance.

#### City of Phoenix Human Services Department (HSD)

**Volunteer Income Tax Assistance** - The City of Phoenix Volunteer Income Tax Assistance (VITA) Program provided free tax preparation services to low and moderate income taxpayers, including seniors and persons with disabilities. Every year millions of dollars in tax refunds are unclaimed because many people are unaware of the various credits available to them such as the Earned Income Tax Credit (EITC), a refundable federal income tax credit for low-income working individuals and families. The EITC Initiative is an entirely volunteer-driven project. Volunteers are trained and certified through the Internal Revenue Service (IRS). The VITA program is designed to provide the maximum benefits available to the tax payer and give them guidance to lessen their financial burden.

The City of Phoenix HSD partners with the Valley of the Sun United Way, AARP, and other local agencies. VITA sites in the Phoenix area are open from January to April and are most commonly set up in churches, community centers, colleges, and other easily accessible locations. CSBG funds are used to support staff salaries for program delivery and staff training.

**Aging in Place Initiative** - In SFY 2015, the City of Phoenix HSD, in partnership with All Saints Episcopal Church, successfully created Central Village. This effort was part of the Regional Aging in Place Initiative, coordinated by the Maricopa Association of Governments (MAG). This initiative provides opportunities for community members to leverage their strengths to assist one another. Its members represent persons aged 18 and older with a focus on seniors. Central Village spans

several miles and consists of three components:

1. A “Time Bank” where there is an exchange of services, information, and referral service for local resources and a community building socialization piece based upon time credits;
2. Community Connections, a component that provides social, cultural and educational opportunities for both members and the local community; and
3. An Information and Referral component that is geared towards the needs of those age 55 and over. All services are provided and supported by fellow seniors to enable them to “age in place” by remaining in their homes.

In its first year of operation, Central Village obtained its 501c3 status, recruited 32 members and exchanged over 1,200 hours of service and offered over 64 different service types. One of the major events hosted by Central Village covered concerns relevant to the community, including transportation options for seniors, pain management and medical care history education. In addition to the open community events, it has hosted educational, social and cultural events concerning a variety of topics. Central Village operates its own website <http://centralvillagephx.org> utilizing the hOurworld software to track outcomes and to communicate with members.

CSBG funds were used to establish a specialized casework unit to focus on developing a community building socialization component. Central Village has developed several community partnerships to include a partnership with Duet, a local non-profit faith-based agency affiliated with [www.VolunteerMatch.org](http://www.VolunteerMatch.org), that matches volunteers to need. This allows members to volunteer their service to Duet and receive time credits through Central Village. Duet actively promotes its activities through the use of the communication tools in hOurworld. Central Village works in closely with its funders, MAG, Grant Makers in Aging and All Saints Episcopal Church and Day School.

#### Western Arizona Council of Governments (WACOG)

WACOG has been dedicated to the health and well-being of the communities and families served since 1971. WACOG Community Services covers a three county service area that consists of La Paz, Mohave, and Yuma counties. WACOG provides a comprehensive array of services to help people achieve their highest level of self-sufficiency. Services and programs reach a diverse population of residents from preschool children participating in Head Start programs to older adults attending senior center activities. The Community Action Program (CAP) was established to mobilize resources to help families move toward self-sufficiency and out of poverty.

WACOG programs provide a comprehensive “safety net” of services to the community, working to prevent homelessness, maintaining independent living and providing the foundation for the development of self-sufficient, healthy, caring and productive children and families. The organization's services extend a helping hand to residents in times of crisis or need.

**A Hand Up** – WACOG’s housing counseling program was initiated in 2010. This program has steadily increased capacity and scope by assisting homeowners in maintaining their primary asset, providing income management education and coordinating with emergency service case management systems, instituting Workforce Development and Weatherization programs to target and bundle services for low income homeowners with priority for elderly clients and families with children and those seeking employment, training and education.

For SFY 2014, the A Hand Up program provided 36 Financial Education Workshops and six “Pre-Purchase Counseling” workshops, assisting 148 households with Foreclosure Prevention Counseling. The VISTA initiative by end of year three is expected to build the capacity of WACOG and Western Arizona Community Alliance to mobilize and coordinate service through our service integration work with Workforce Investment and extend this integration to other community non-profit services providers.

In April 2014, WACOG partnered with Western Arizona Community Alliance and implemented Volunteers in Service to America (VISTA) Pathways out of Poverty Initiative. The VISTA Pathways Out of Poverty grant initiative is a three year program which builds upon WACOG's program capacities to deliver high impact solutions in an integrated and holistic fashion. Homeowners are, in addition to receiving emergency assistance, referred to the Housing Counseling and Weatherization programs for income management, housing counseling, education and linked to other resources which support a long-term plan for self-sufficiency. All intakes are triaged for homeownership then referred to Housing Counselors for education and counseling assistance as well as Weatherization.

WACOG is one of three Community Action Agencies in the State to become a HUD certified Housing Counseling Agency. The expertise and training of staff as Housing Counselors provide opportunity to build upon internal capacities and integrate/coordinate with case managers to bundle services and provide a more holistic service to the clients who come through the doors. The AmeriCorps VISTA grant provides an opportunity to innovate and try new approaches without sacrificing the financial capital since it provides the human capital through stipend paid by this federal source. Community Partners include Churches and Senior Centers who assist clients in accessing utility assistance. For the VISTA project, Yuma Private Industry Council is a full partner in service integration with Workforce project and provides staff, facilities and materials as needed.

CSBG funds are used to support the staff delivering the service, supplies and materials needed by WACOG and partners, to operate the programs.

WACOG's Weatherization and Major Home Rehabilitation Program targets vulnerable populations including seniors. The Program provides long-term improvements to living conditions, allowing the retention of an asset and provides added income, which, for low-income seniors, often means deciding between utilities and medication. Local vendors and home supply companies provide materials and supplies while general and specialty contractors provide for the installation of energy efficient measures. Local Workforce Investment programs provide candidates for job training beside the WACOG experienced Weatherization staff. In SFY 2013, 150 homes whose occupants included at least one senior were weatherized or rehabilitated. CSBG funding covers staff activities in the delivery of services in the Weatherization and Major Home Rehabilitation Program. CSBG provides, in part, the administrative and operational capacity to deliver these services.

#### Community Action Human Resources Agency (CAHRA)

In an effort to deliver quality, accessible and well-managed services, CAHRA has continually strived to implement an appointment system that provides communities reliable access to services, while ensuring each appointment delivers supports to the

participant in accordance with their specific needs. Over CAHRA's 34 year existence, the appointment system has evolved to the current system based on increasing requests for services and the need to deliver CAHRA services to participants in their own cities throughout Pinal County. Toward the effort, CAHRA supports a "first come, first served" call-in appointment system. Case Managers are provided appointment information for a specific city in Pinal County and travel to the communities to provide services.

Requests for emergency services are evaluated and prioritized for additional appointments in the CAHRA office. These appointments are in addition to the appointments in individual communities. CAHRA is also supported by partner agencies in several ways. CAHRA accepts referrals for services from local agencies and partners in Pinal County. Partner agencies have been trained to deliver utility services to participants in their local areas or participants in their agency programs. They are:

- St. Vincent de Paul, Santa Catalina
- Pinal Hispanic Council
- Coalition Against Family Abuse
- Against Abuse
- Pinal Gila Council for Senior Citizens

Other partners in the community provide support to CAHRA by providing free space to CAHRA staff to meet with clients who have appointments. These partners are:

- The Center, Apache Junction
- Arizona Workforce Center, Casa Grande
- Florence Senior Center, Florence
- Superior Courthouse, Superior
- San Pedro Behavioral Health, Oracle
- Against Abuse, Maricopa
- Pascua Yaqui Tribe offices, Coolidge

CSBG funds are used to support case management staff and CAHRA operations.

CAHRA has been the manager and fiscal agent for the Santa Cruz Valley Food Pantry since 2000. The food pantry operation was "evicted" from their building by the City of Eloy due to remodeling the main building on the property. The food pantry was demolished as the space was to be used for a parking lot. CAHRA agreed to house the food pantry by making room in its warehouse for the food, refrigerators and freezers. Volunteers and staff made do with the limited space available.

The food pantry moved twice more. The moves were temporary, and a local commercial landlord agreed to donate a space temporarily until he could find permanent tenants. The food pantry would be in search of another home before long. CAHRA made the Pinal County community aware of the dilemma and citizens, local businesses and other organizations responded. CAHRA and a host of local partners mobilized to rebuild and stabilize the agency's food pantry operation. The General Manager and employees of the Wal-Mart Distribution Center in Eloy started a fundraising campaign.

Wal-Mart Distribution Center employees raised over 5,000 pounds of canned goods and fresh meat and later donated \$20,000. Staff worked with the Eloy Junior Honor Society as the 7th and 8th graders adopted the food pantry as their annual project. The



junior high school student volunteers raised enough funds by selling candy and holding a raffle to purchase a pallet jack for the pantry. CAHRA staff raised more than \$6,000 to purchase food for the food pantry through a fundraiser in Casa Grande. Arizona Public Service graciously donated 12 tickets to an Arizona Diamondbacks baseball game, in its company suite at Chase Field for the event. The tickets were valued at over \$3,000. Many other local partners contributed to this initiative.

The CAHRA Board and Food Pantry Council agreed that with the successful fund raising efforts underway, the building adjacent to the CAHRA building would be used for the pantry, if funds were raised to make the improvements. Other donations included:

- The City of Eloy donated \$10,000;
- County Attorney's Office donated \$2,000; and
- Tohono O'odham Nation donated \$30,000.

The funds were raised and the improvements were made enabling the Santa Cruz Valley Food Pantry to be moved to the new location on January 4, 2013.

During the SFY 2013, the pantry volunteers distributed 2,988 food boxes and 316,985 pounds of food. The very loyal volunteers donated 810 hours of time at the food bank. Additional food including bread, fresh fruit and dairy products continued to be provided by the United Food Bank. These items complemented the canned goods that go into each food box. Any excess fresh produce was distributed to the Eloy Senior Center, the Santa Cruz Village Senior Apartments, several food pantries, St. Vincent De Paul, Pinal Hispanic Council, and Chicanos por La Causa Migrant and Seasonal Head Start. CSBG provided funds for supervisory staff and other indirect costs associated with the operation of the Santa Cruz Valley Food Pantry.

#### City of Glendale Community Action Program

**Emergency Services and Housing** - The City of Glendale Community Action Program (CAP) staff, through their case management process, help families remove obstacles that block the achievement of self-sufficiency. The Glendale CAP has provided emergency assistance to qualified low-income families for the past 31 years. Services include utility payment assistance, utility deposit assistance, eviction/foreclosure prevention, first month move-in assistance, Homeless Prevention and Rapid Re-housing services and community referrals.

The City of Glendale CAP has continuously strived to be a lead agency in developing partnerships with local social service agencies, law enforcement, public housing services, parks and recreation and other public and private organizations. CAP staff coordinates agency collaboration meetings to establish and maintain open communications with agencies that assist with similar emergency services. These meetings are hosted with guest speakers that attract the interest of local agencies. The incentive to remain involved is the broad range of agency collaboration and valuable information that is distributed during these collaboration meetings. Another incentive is that the agencies become directly involved with any CAP event, whether it is an Agency Health Fair, Job Fair, or mass intake for utility assistance fairs. Glendale CAP hosts an Annual Community Resource and Health Fair every year involving many agencies. These long-standing partnerships develop and expand resources for the low-income residents of Glendale. During this economic climate of budget reductions, the Glendale CAP utilized as many resources within the government and

private sector as were available in the community to assist low-income residents.

In SFY 2014, Community Action Program staff paid with CSBG funds coordinated a variety of resources to utilize \$839,557 in leveraged funding to provide emergency assistance. CAP services were provided to 2,563 families this past year. The programs include assistance for Eviction/Foreclosure Prevention; Utility and Deposit Assistance for electric, gas, water; first month's move-in costs for the homeless; and emergency food. CSBG-paid CAP staff also coordinated with many agencies throughout the year in order to plan, organize and supplement many low-income families during annual holiday events. In November 2014 for the Glendale Resource Fair, 200 Turkeys/food boxes were provided, a \$10,000 value. In December 2013, 65 families received \$100 Fry's Food Grocery Cards; 150 Children received back-packs filled with school supplies, and other items valued at \$18,960; 12 families were adopted by city departments with personnel donating \$100 per family. The Glendale Elks Lodge delivered 20 turkey dinners valued at \$45 each. All of the holiday events were successful in returning \$31,060 in funding back to the Glendale community.

Glendale CAP coordinated with other city housing programs including the Glendale Housing Division, for Section 8 public and conventional housing for extremely low-income families, and Glendale Neighborhood Revitalization, to provide support for rent assistance such as homeless prevention and rapid rehousing. These departments in turn coordinated with St. Vincent de Paul, Vineyard and First United Methodist churches for emergency assistance in homeless prevention.

Agencies that were directly involved in the emergency food programs providing food vouchers and/or resources for holiday events included Nina Mason-Pulliam Foundation, Helping Hands, Elks Club, Hope for Hunger-Firemen/Glendale Food Bank, New Life Community Church, Care 1st Health Plan and United Healthcare Community Plan. Maricopa Integrated Health Systems, APS, SRP and Southwest Gas were directly involved and provided fees for the Glendale Civic Center to host the Annual Glendale Family Resource Fair, which helped over 1,100 low-income residents.

In SFY 2013, the Glendale Annual Holiday Community Action Program Event for children and families assisted the low-income families that qualified for utility/rent or mortgage assistance under CSBG poverty guidelines.

Glendale CAP collaborates with several local private and faith-based organizations that have become active with the agency collaboration group. Agencies including Nina Mason-Pulliam Charitable Trust, Wings of Love, Veterans of Foreign War Post 29, Disabled American Veterans Glendale Riders, Glendale Elks Club, Arizona Helping Hands and New Life Community Church of Glendale, have made yearly commitments to remain active and directly involved in the Glendale community.

Another partner, J.C. Penney, provided Santa Shop Day and Thanksgiving/Christmas Food Baskets. In the Back to School Back-Pack program, each family was provided with \$100 grocery food card and children received a backpack filled with school supplies.

The event addressed the basic needs of food, rent and utilities and holiday help for families. The J.C Penney Santa Shop Day, Thanksgiving/Christmas Food Baskets; and the "Back-to-School Back-Packs" program served 100 families including 150 children in Glendale. The coordinated efforts among the agencies allowed CAP to

give back to the community \$21,275 in direct assistance for basic needs and household goods.

Since many private partners in the Glendale area do not have funds to cover the costs of coordinating these community events, they rely on the CAP agency to assist with the recruitment, organization and planning process for these events.

CSBG funding is used to pay for the salaries of the CAP staff. The Emergency Services staff is responsible for administering all of the social services that are provided, which includes Community Services, Emergency Services and housing and case management services that target low-income families in the Glendale community. The caseworkers also refer families to available youth services in the area.

#### Coconino County Community Services Department

**Individual Development Account (IDA) Program** - In an effort to help area college students to further their education at Coconino Community College (CCC), in 2015, the Coconino County Community Services Department collaborated with CCC to provide financial assistance for residents wishing to continue their education. “The Coconino “\$ave2Learn” Individual Development Account (IDA) Program provides an excellent opportunity to help support our students who are serious about furthering their education,” County Board of Supervisors Chairwoman Mandy Metzger said of the IDA program. “By providing earned financial support, we are investing in our residents to provide them the tools needed to build a successful future.” Under the Coconino “\$ave2Learn” IDA Program, participants seeking a post-secondary degree with CCC will have \$3 in grant funding matched for every \$1 the student saves toward furthering their college education. Students can save up to \$1,000, which will be matched by up to \$3,000 in grant funding.

Upon completion of the savings program and with the combined funds, students will have up to \$4,000, which can be used toward tuition and books at CCC. “We are excited about the fact that this program accomplishes something that community colleges have been all about since their inception – access to higher education for individuals that might not otherwise have access,” said CCC District Governing Chairman Patrick Hurley.

To be eligible, among other requirements, applicants must:

- Be a Coconino County resident.
- Be at least 16 years old.
- Have a job or be on work-study.
- Have a valid Social Security number or federal tax ID number.
- Have proof of income (current tax return or three recent pay stubs).
- Have a minimum annual income of \$4,000 and a maximum annual income of \$23,340.

CSBG funds will be used to support agency staff to administer and deliver this program. Outcomes for this program will be tracked using ROMA NPI Goal 1.3 E.

**Financial Education and Empowerment** - Moved by the volume of individuals and families seeking assistance on a repeated basis, the Coconino County Human Services Department developed a financial literacy course using both in-person financial

counseling and self-study options. Service territory statistics indicated that families and individuals seeking repeat assistance continued to have limited resources and lacked basic knowledge of financial management or budgeting skills. Some program participants were single provider families. Coconino County Community Services took action and developed a program called “Financial Education and Empowerment.” This program teaches self-empowering habit changes in the areas of budgeting and financial management, seeking to improve household security. Coconino County Community Services began this program by educating Department staff in financial literacy. During SFY 2013, the Department chose two personnel to obtain and maintain the Certified Financial Coach Training offered by the United Way, Valley of the Sun chapter in Phoenix. CSBG funds supported the training of two staff members to become Certified Financial Coaches who then developed the Financial Education and Empowerment Program.

The Department completed implementation in SFY 2014. The “Financial Coaching and Empowerment” program will measure results by tracking families and individuals through their need for repeated basic assistance. Outcomes will be measured by the participants’ level of understanding of fiscal skills as taught during the course, as well as those demonstrated after the Financial Education and Empowerment course is completed. Outcomes will be reported for SFY 2014.

Coconino County Community Services recognizes that financial literacy and education are important to low-income residents of Coconino County who seek financial assistance. The Department now utilizes financial coaching as a tool for case management services in our Social Services Division. Caseworkers certified as financial coaches through the United Way Valley of the Sun organization are currently providing one-on-one coaching sessions. The partnership with United Way allows for continued training through monthly meetings and conference calls. This fosters continued growth, provides networking opportunities and access to additional resources for our financial coaches. Financial coaching not only evaluates household budgeting and the prioritization of financial obligations, but also financial behavior. This practice enhances awareness of financial habits and examines changes individuals and families may desire to create in their financial circumstances. As a community-based initiative, the program is available free of charge.

Coconino County Community Services also administers the Basic Business Empowerment (BBE) Program, which provides an in-class curriculum for limited income individuals who are starting their own small businesses along with the Individual Development Account (IDA) Program whereby participants receive a 2 to 1 match for every dollar they save for business development/expansion or educational pursuits. Financial Literacy Education/Coaching is provided as part of the BBE and IDA Programs.

Coconino County Community Services has partnered with local banks such as Alliance Bank and National Bank of Arizona to secure matching grant funds for the IDA Program. Coconino County Community services partners with the Small Business Development Center (SBDC) who reviews and approves Business Plans for our BBE program participants.

Coconino County Community Services also partners with United Way of Northern Arizona through the Volunteer Income Tax Assistance (VITA) Program. Community Services is a VITA Site which assists limited income residents with free tax preparation services. Assisting residents with tax preparation and ensuring families

are claiming the Earned Income Tax Credit (EITC); this enables families to generate income to allow for their needs and allows staff to work with families on using a portion of these monies for savings and asset development.

#### Southeastern Arizona Community Action Program (SEACAP)

SEACAP participates in an annual weeklong Indian Nations Youth Camp in coordination with the Nineteen Tribal Nations Workforce Investment Board (NTNWIB). The camp addresses the social and emotional development of youth ages 15-21. The camp had 73 participants for SFY 2013. Arizona has the only Tribal Workforce Investment Area in the United States. This unique status is a result of the Tribal Nations' sovereign status which has been earned through treaties and congressional actions.

The partners involved are the Nineteen Tribal Nations Workforce Investment Programs in the State of Arizona. Their contributions range from donations to being staff members at the camp. Each Tribal Nation also pays for the cost of the youth, representing their tribe, to attend. In SFY 2013, 73 youth attended the camp, achieving Goal 6: National Performance Indicator 6.3 (F), Youth Improved Social/Emotional Development, for 100 percent of the participants. CSBG dollars were used to support the participating staff salaries.

#### Portable, Practical, Education Preparation, Inc. (PPEP)

PPEP Youthbuild Program is a program that focuses on at-risk youth 16-24 years of age. It centers on construction and education for skill development, and educational learning in order to obtain a General Equivalency Diploma (GED) and move into career development and/or post-secondary education. The Comité de Bien Estar Housing Program and Lowe's Home Improvement stores partner with PPEP Youthbuild Program with respect to providing needed construction sites for building low-income housing and skills development for youth enrolled in the program. Lowe's Home Improvement stores provide youth with needed tools at a discounted rate. PPEP High School Equivalency Program provides for education classes and testing for GED graduation requirements.

Nineteen students graduated from the program, with 16 receiving their GEDs in 2013. The other three students are still engaged in one-on-one instruction in preparation to test for the GED. Each has only one or two subjects remaining in order to receive their GEDs. Some students are enrolled in Arizona Western College to pursue their degrees, while others have obtained jobs and will pursue their college education within the next few years.

CSBG funds were used to help some of the students to pay for GED testing who were ineligible for fee waivers under other programs. Also, some students received assistance with clothing for interviews, while others were assisted with work-related clothing.

#### (2) Community Needs Assessments [‘676(b)(11)]

Each Community Action Plan includes a Community Needs Assessment, completed no less than once every three years, and whenever possible, coordinates with other federal programs to improve the utilization of agency resources and increases the scope of the Community Needs Assessment. Arizona communities across the state are diverse, with

each service area having unique conditions, geography and challenges. Community Needs Assessments provide a picture of the community, community assets and community needs through a process of information gathering and engagement of community stakeholders.

The process results in the establishment of priority gaps and needs and determining future directions. Use of this process by eligible entities provides the opportunity to create a statewide view of the needs of low-income families in Arizona as well as a localized view of the unique needs of a particular community.

(3) Tripartite Boards [‘676B(a)(b)]

In order to receive CSBG funding, each eligible entity must administer the CSBG Program through the establishment of a Community Services Board. Each eligible entity must assure that:

- (i) one-third of the board members are elected public officials currently holding office (or their representatives), except that if the number of elected officials reasonably available and willing to serve, is less than one-third membership of the board. Membership on the board of appointed public officials may be counted in meeting such one-third requirements;
- (ii) at least one-third of the members are persons chosen in accordance with democratic selection procedures adequate to assure that they are representative of the poor in the area served;
- (iii) the remainder of the members are officials or members of private business, industry, labor, religious, welfare, education, or other major groups and interests in the community; and
- (iv) information on board structure, vacancies, membership, scheduled meetings is received annually from each eligible entity. Entity bylaws are required to describe the details by which low-income member participation will be solicited and obtained.

(4) State Charity Tax Program [‘675C(b)(2)(c)]

This is not applicable to the State of Arizona.

(5) Programmatic Assurances [‘676(b)]

(a) Assurance [‘676(b)(1)]

The State will encourage the use of CSBG funds toward the development of services and programs that will assist low-income individuals in attaining social and economic self-sufficiency. In an effort to promote a state/local partnership, decisions regarding community action plans will be made locally. The needs of one county may vary from another within the same district, or another part of the State. Subsequently, the State will not require the same services of all eligible entities.

Eligible entities in Arizona are required to provide a range of services and activities that have a measurable impact on the causes of poverty and to design their programs to assist low-income participants, including seniors, homeless individuals and families, and migrant or seasonal farmworkers. Each agency will coordinate their services with

Department of Economic Security local offices wherever possible. The problem areas to be addressed are:

- (i) Employment  
To secure and retain meaningful employment.
- (ii) Better Use of Income  
To identify and maximize the use of available income.
- (iii) Use of Other Programs  
To identify and connect to other program resources identified to meet the needs of low-income individuals.
- (iv) Emergency Needs  
To obtain emergency assistance through loans or grants to meet immediate and urgent individual and family needs, including the need for health services, nutritious foods, housing, and employment-related assistance.
- (v) Starvation and Malnutrition  
To provide on an emergency basis for the provision of supplies and services, nutritious food and related services as may be necessary to counteract conditions of starvation and malnutrition among the poor.
- (vi) Education  
To attain an adequate education, vocational training and provide supports sustaining educational endeavors.
- (vii) Housing  
To obtain and maintain safe, adequate housing and a suitable living environment.

(b) Program Activities

Upon completion of the required Community Action Plan, each CSBG provider sets forth strategies or activities that will ensure goal attainment and subsequently address identified problem areas.

Strategies to be applied to identify problem areas may include, but are not limited to, the following:

- (i) Advocacy  
This service takes action to protect the rights of individuals and ensure they receive appropriate services and benefits or to seek needed changes in the law and/or administrative rules to protect the rights of individuals and ensure adequate service levels. Activities must comply with the CSBG Act Section 675C(b)(1)(A-H).
- (ii) Basic Education  
This service provides instruction in educational areas necessary for an individual to improve employment opportunities, increase literacy, and navigate essential processes and procedures that impact individuals directly.
- (iii) Case Management

This is a process through which the needs and eligibility of the individual applying for/receiving services are determined. For those individuals eligible, appropriate services and/or benefits are identified, planned, obtained, provided, recorded, monitored, terminated, and follow-up is provided where and when appropriate.

(iv) Information and Referral

This service provides information on and/or instructions in various subjects through public contact and/or meetings, printed materials and media presentations focused on a particular subject, field of interest, agency or service. In partnership with other Department and local agencies and private sector entities, a State subcontractor produces an information and referral guide to available services in the community that is distributed by Department offices and at all CAP agencies.

(v) Coordination

This service addresses an identified problem or need by working cooperatively with other entities concerned with the same problem or need.

(vi) Emergency Services

This service provides a comprehensive and integrated response to crises related to the ability to provide for basic needs by tailoring a menu of available services in the client service area and making referrals to meet client needs.

(vii) Clothing

This service provides new or used clothing.

(viii) Food

This service provides free food or subsidized food products.

(ix) Financial Assistance

This service provides some form of money to meet the costs of immediate necessities. Payments are made to vendors of eligible services.

(x) Home Repair/Adaptation Renovation

This service provides for safety, structural repairs and/or modifications to the home.

(xi) Housing Search/Relocation

This service provides assistance toward locating suitable housing.

(xii) Job Development and Placement

This service provides assistance in preparing for and obtaining employment for job-ready individuals.

(xiii) Nutrition Education and Intervention

This service provides individual and group screening intervention, referral and nutrition education to maintain and /or improve health status.

(xiv) Outreach

This service provides a systematic method to identify and directly contact persons in need of services.



(xv) Transportation

This service provides or assists in obtaining or maintaining transportation by partnering with local carriers, providing rides, gasoline vouchers and emergency vehicle repairs.

(xvi) Volunteer Coordinator Services

This service recruits, trains, places and evaluates volunteers under the supervision of a staff person.

(xvii) Volunteer Income Tax Preparation Assistance (VITA)

This service establishes VITA sites that provide free or low-cost tax preparation services to low income persons.

(c) Eligibility Criteria

The State will require that eligible entities serve individuals and families meeting 125 percent of Federal Poverty Guideline as published in the Federal Register annually by the Office of Management and Budget.

Three months of income may be annualized to determine eligibility for CSBG services except for emergency assistance. Thirty days' income will be used to determine eligibility for emergency services as defined by the Arizona Department of Economic Security guidelines for the Short Term Crisis Services Program in Arizona.

The income eligibility limit for LIHEAP energy assistance programs administered with CSBG dollars is 60 percent of the State Median Income (SMI), adjusted for household size, or 150 percent of the Federal Poverty Guideline, whichever is greater. For SFY 2015 in Arizona, the Federal Poverty Guideline is greater for households with seven or more members.

The following chart will be used from the period October 1, 2014 through September 30, 2015. The 2015 Federal Poverty Guidelines were published on January 22, 2015 by the Department of Health and Human Services, Office of the Secretary; and the State Median Incomes were determined using the American Community Survey (ACS), Table B19119, Arizona Median Family Income In The Past 12 Months (In 2012 Inflation-Adjusted Dollars) By Family Size, 2011-2013 American Community Survey 3-Year Estimates published by the United States Census Bureau. The amounts shown below represent household income for the previous 30 days.

Size of Household Unit	125% of Poverty Guideline 2016	60% of the State Median Income FFY 2016	150% of the Federal Poverty FFY 2016
1	\$1,226	\$1,694	\$1,471
2	\$1,659	\$2,215	\$1,991
3	\$2,093	\$2,736	\$2,511
4	\$2,526	\$3,257	\$3,031
5	\$2,959	\$3,778	\$3,551

6	\$3,393	\$4,299	\$4,071
7	\$3,826	Use 150% FPG	\$4,591
8	\$4,529	Use 150% FPG	\$5,111
9	\$4,693	Use 150% FPG	\$5,631
10	\$5,126	Use 150% FPG	\$6,151
For each additional member add:	\$433	150% FPG is greater for households with 7 or more members	\$520

(d) Coordination with Other Programs

The State will provide coordination between antipoverty programs in each community where appropriate, with emergency energy crisis intervention programs under Title XXVI of the Act, relating to low-income home energy assistance, conducted in each community.

The ADES administers the Supplemental Nutrition Assistance Program, Unemployment Insurance and Employment Service programs, Developmental Disabilities Programs, Workforce Investment Act programs, State Homeless Coordination Office, Domestic Violence Program, Arizona Refugee Resettlement Program, and Independent Living Supports. Through the eligible entities, coordination and/or referral services are provided among private local agencies such as United Way and other local charities.

Coordination occurs through joint planning, formal and informal meetings, cooperative contracting procedures, memos of understanding and the exchange of significant correspondence and information. The State will encourage coordination and collaborative efforts between programs at the community level.

G. Fiscal Controls and Monitoring [‘678C(9)(4)(A)]

(1) Monitoring of Eligible Entities [‘678B(a)]

(a) Assurance 678B(a)(1)

A full onsite review of each eligible entity will take place at least once during each three-year period.

(b) Assurance 678B(a)(2)

An onsite review of each newly designated eligible entity will take place immediately after the completion of the first year in which such eligible entity receives funds through the CSBG Program.

(c) Assurance 678B(a)(3)

Follow-up reviews will take place including prompt return visits to eligible entities, and their programs, that fail to meet the goals, standards and requirements established by the State.

(d) Assurance 678B(a)(4)

Other reviews will be conducted, as appropriate, including reviews of entities with programs that have other federal, state or local grants (other than assistance provided under the CSBG Program) terminated for cause.

(e) Ongoing monitoring

The State will conduct technical, fiscal and programmatic offsite monitoring and desk reviews for the purposes of program evaluation, corrective improvement, and technical assistance needs and risk assessment.

(f) Audit

Eligible entities are required to have an annual agency wide audit and to submit the results of the audit to the State.

(2) Corrective Action, Termination and Reduction of Funding

Arizona assures that any eligible entity that receives CSBG funding in the previous fiscal year will not have its present or future funding terminated or reduced below its proportional share under this Act unless, after notice and opportunity for hearing on the record, the State determines that cause existed for such termination subject to review by the Secretary as provided in Section 676A. [Public Law 98-558, Section 203(3)]

For purposes of making a determination with respect to a funding reduction, the term “cause” includes:

- (a) a statewide redistribution of funds under this title responding to the results of the most recently available U.S. Decennial Census or other appropriate data;
- (b) the establishment of a new eligible entity;
- (c) severe economic dislocation; and/or
- (d) the failure of an eligible entity to comply with the terms of its agreement to provide services under this subtitle. [‘675(C)(11) as amended by P.L. 101-501, Section 404]

For purposes of making a determination with respect to termination, the term “cause” includes the material failure of an eligible entity to comply with the terms of its agreement and community action plan to provide services under this subtitle.

Should termination of funding be necessary, the State assures that before terminating funding to an eligible entity, notification to the eligible entity will be in writing. Specific deficiencies will be outlined, and the proposed termination date provided, as well as a notification of the right to a hearing on the proposed action.

The process will be as follows:

- (a) Within 30 workdays after receipt of letter regarding the proposed termination, an appeal letter from the eligible entity should be submitted to the DAAS Assistant Director (or designee) responding to the concerns in the letter.
- (b) When appropriate, the State offers technical assistance to the eligible entity to help correct the deficiency. The State will prepare and submit to the Secretary of the U.S.

Department of Health and Human Services a report describing any technical assistance offered to the eligible entity.

- (c) A corrective action plan will be submitted within 60 workdays identifying objectives to address deficiencies. The State will either accept or reject the proposed plan within 30 days of receipt of the plan.
- (d) If the corrective action plan is accepted, the State will monitor the eligible entity for compliance of the corrective action plan. If the corrective action plan is rejected, the eligible entity will be notified within 30 workdays of the hearing scheduled by the hearing officer in the Appellate Services Administration.
- (e) No later than ten workdays after the hearing, the State will forward to the Secretary of the Department of Health and Human Services its determination, along with all supporting documentation. The State will also notify the eligible entity of its final decision at this time. The eligible entity has 30 workdays following this notification to request a review from the U.S. Department of Health and Human Services.
- (f) The eligible entity will be notified in writing of the final determination after consultation with the Department of Health and Human Services.

#### Fiscal Controls

Arizona assures that fiscal control and fund accounting procedures will be established as may be necessary to assure the proper disbursement of and accounting for federal funds paid to the State under this subtitle, including procedures for monitoring the assistance provided under this subtitle.

At least annually, each state, local government and American Indian Tribe or tribal organization that receives \$100,000 or more (during the fiscal year) in all types of federal financial assistance must conduct an audit in accordance with the Single Audit Act, Public Law 98-502. [31 U.S.C. 75 and OMB Circular A-128), '678D(a)(1) and '678D(a)(2)]

The State further assures that a copy of such audit shall be made available to the eligible entities, State legislature and the Secretary of the U.S. Department of Health and Human Services.

#### (3) Cost and Accounting Standards

Arizona assures the eligible entities and any other recipients of funds under this subtitle shall comply with the Office of Management and Budget cost and accounting principles.

These assurances will be implemented by the State and/or through contract agreements with service providers. Each provider agreement will include requirements that the provider adhere to these areas as applicable to them.

#### (4) Investigative Cooperation ['676(b)(7)]

Arizona will permit and cooperate with federal investigations of the activities of the State and its eligible entities with regard to expenditure of CSBG funds. Arizona will cooperate with federal and state government conducting audits and program reviews by providing access to fiscal, case management and programmatic records.

(5) Coordination [‘676(b)(9)]

The State and eligible entities will, to the extent possible, coordinate programs and form partnerships with other organizations serving low-income residents of the communities and members of groups served by the State, including religious organizations, charitable groups and community organizations.

DAAS will ensure contracting agencies comply with this assurance at the beginning of the annual planning process by requiring eligible entities to describe, and verify in writing, their coordination activities.

(6) Adequate Representation [‘676(b)(10)]

The State will require that each eligible entity in the State establish procedures under which a low-income individual, community organization, religious organization, or representative of low-income individuals that considers its organization or low-income individuals to be inadequately represented on the board (or other mechanism) of the eligible entity can petition for adequate representation.

H. Accountability and Reporting Requirements [‘676(b)(12)]

The State and all eligible entities in the State have, since Fiscal Year 2001, participated in the Results Oriented Management and Accountability (ROMA) System or another performance measurement system for which the Secretary facilitated development pursuant to Section 678E(b) of the Act.

The ADES has received Community Action Plans as required by the CSBG Amendments of 1994. Community Action Plans from agencies include the following sections: Mission Statement, Needs Assessment, Description of Current Delivery System, Linkages and Activities to Fill Gaps, and Coordination of CSBG Funds. Each eligible entity has identified results-oriented goals and objectives that address problem areas identified through an assessment of the agency and the local service delivery system. In addition, each agency has developed specific performance measures to be used for monitoring the agency’s success in achieving a stated goal.

Performance measures identified by eligible entities will monitor performance in meeting the National Goals of the CSBG Program as listed below:

Goal 1: Low-income people become more self-sufficient.

Goal 2: The conditions in which low-income people live are improved.

Goal 3: Low-income people own a stake in their community.

Goal 4: Partnerships among supporters and providers of services to low-income people are achieved.

Goal 5: Agencies increase their capacity to achieve results.

Goal 6: Low-income people, especially vulnerable populations, achieve their potential by strengthening family and other supportive systems.

The outcome measures used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization are those identified in the CSBG Information System Survey and through ROMA National Performance Indicators.

Agencies are also required to provide case management reports that include information about eligibility for other programs including Low Income Home Energy Assistance Program (LIHEAP), TANF Short Term Crisis Assistance and Neighbors Helping Neighbors, a State program, and other funds provided by the State.

These reports are submitted to the ADES on a monthly basis. The ADES monitors contracts through on-site visits every two years. The ADES has created detailed monitoring tools that function to assess performance within CSBG guidelines and statutory compliance. The tools are also used by the agencies to assess their performance under contract. Additionally, monitoring is used by the ADES to assess the need for training and technical assistance, to either individual agencies or the Community Action network.

# Appendix A

Delegation of Authority



STATE OF ARIZONA  
OFFICE OF THE GOVERNOR

DOUGLAS A. DUCEY  
GOVERNOR

EXECUTIVE OFFICE

February 24, 2015

Ms. Jemie Chaffin  
Director, U.S. Department of Health and Human Services  
Administration for Children and Families  
Office of Community Services, Division of Energy Assistance  
Aerospace Building, 5<sup>th</sup> Floor West  
370 L'Enfant Promenade, S.W.  
Washington, DC 20447

Dear Ms. Chaffin:

I, Governor Douglas Ducey, delegate my authority to the Director of the Department of Economic Security to certify to the 16 assurances outlined in the Low Income Home Energy Assistance Act of 1981, as amended, and otherwise perform all necessary functions to properly administer the Low Income Home Energy Assistance Program and the Community Service Block Grant Program.

If you have any questions, please contact Melanie Starns, Assistant Director, Division of Aging and Adult Services, at (602) 542-2591 or via email at [mstarns@azdca.gov](mailto:mstarns@azdca.gov).

Sincerely,

A handwritten signature in dark ink, reading "Douglas A. Ducey".

Douglas A. Ducey  
Governor



# Appendix B

Certification Regarding Lobbying

## **CERTIFICATION REGARDING LOBBYING**

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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Signature

**Director**

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Title

**Arizona Department of Economic Security**

Organization

# Appendix C

Certification Regarding Debarment, Suspension  
and Other Matters

## **CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS**

### **Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions**

#### **Instructions for Certification**

- (1) By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
- (2) The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
- (3) The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
- (4) The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- (5) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
- (6) The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
- (7) The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- (8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Non-procurement Programs.

- (9) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (10) Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

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#### Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
  - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
  - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
  - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
  - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.
- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

#### Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

##### Instructions for Certification

- (1) By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
- (2) The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

- (3) The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
- (4) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
- (5) The prospective lower tier participant agrees by submitting this proposal that, [[Page 33043]] should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
- (6) The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled ``Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- (7) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
- (8) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (9) Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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#### Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

\_\_\_\_\_  
Signature

**Director** \_\_\_\_\_  
Title

**Arizona Department of Economic Security** \_\_\_\_\_  
Organization

**Certification Regarding Debarment, Suspension And Other Responsibility Matters**  
Document

# Appendix D

Certification Regarding Drug-Free Workplace  
Requirements



## CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

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This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645(a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

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### Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

- (1) By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
- (2) The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
- (3) For grantees other than individuals, Alternate I applies.
- (4) For grantees who are individuals, Alternate II applies.
- (5) Workplaces under grants, for grantees other than individuals, need not be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
- (6) Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
- (7) If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
- (8) Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

*Controlled substance* means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

*Conviction* means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

*Criminal drug statute* means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

*Employee* means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

### Certification Regarding Drug-Free Workplace Requirements

#### Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about –
  - (1) The dangers of drug abuse in the workplace;
  - (2) The grantee's policy of maintaining a drug-free workplace;
  - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
  - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will –
  - (1) Abide by the terms of the statement; and
  - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within ten calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency

has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted –
  - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
  - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency.
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).
- (h) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Arizona Department of Economic Security  
1717 West Jefferson  
P.O. Box 6123  
Phoenix  
Maricopa County  
Arizona 85005

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Check if there are workplaces on file that are not identified here. ☒

Alternate II. (Grantees Who Are Individuals)

- (a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and
- (b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

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Signature

**Director**  
\_\_\_\_\_  
Title

**Arizona Department of Economic Security**  
Organization

**Certification Regarding Drug-Free Workplace Requirements**  
Document

# Appendix E

Certification Regarding Environmental Tobacco  
Smoke

## **CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE**

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1,000 per day and/or the imposition of an administrative compliance order on the responsible entity by signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

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Signature

**Director**

Title

**Arizona Department of Economic Security**

Organization

**Certification Regarding Environmental Tobacco Smoke**

Document

# Appendix F

Phoenix Public Hearing Documents

# Appendix G

Flagstaff Public Hearing Documents



# Appendix H

Tucson Public Hearing Documents

# Appendix I

Legislative Hearing Agenda

# Appendix J

Proposed Tempe Designation – Public Hearing Documents